

PART B - FEE(S) TRANSMITTAL



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28465 7590 03/07/2007

PATENT GROUP
 C/O DLA PIPER US LLP
 203 N. LASALLE ST., SUITE 1900
 CHICAGO, IL 60601

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Kathryn Walczak	(Depositor's name)
3/19/07	(Signature)
Kathryn Walczak	(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/091,046	03/05/2002	Peng Chen	SAF-06-5360	6492

TITLE OF INVENTION: AUTOMATICALLY ALLOCATING AND REBALANCING DISCRETIONARY PORTFOLIOS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$700	\$300	\$0	\$1000	06/07/2007

EXAMINER	ART UNIT	CLASS-SUBCLASS
SUBRAMANIAN, NARAYANSWAMY	3692	705-036000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
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2. For printing on the patent front page, list:

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively,
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1. DLA Piper US LLP
 2. R. Blake Johnston
 3.

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Ibbotson Associates

Chicago, Illinois

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

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5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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Authorized Signature

Date 3/19/07

Typed or printed name R. Blake Johnston

Registration No. 41,097

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